Compliance Evaluation and Review Tool – process map

Survey Scheduled and Conducted

7th of the month preceding the scheduled quarter

- Assistant Project Director will assign cases to each surveyor, E-Mail the list of assignments the surveyor and survey coordinator. This list will include the following:
 - Survey number
 - Provider agency name
 - Agency contact person
 - Agency contact person's phone number
 - District
 - Agency address
 - Waiver services provided (if available)
 - Waiver
 - Number of clients served per service and waiver

2 to 3 business days prior to survey

- Surveyor will contact the provider contact and CEO to schedule:
 - Date of the survey
 - Time of arrival
- Surveyor E-Mails the "1-CERT Announcement Letter" and Census Request form to: provider contact person (CEO and designee), and cc's: DMS, Survey Coordinator, BQIS Contract Liaison.
- DMS saves "1-CERT Announcement Letter" and enters data.

Day of survey

- Surveyor holds opening meeting.
- Surveyor obtains completed Census Request form, identifies personnel files to review, obtains personnel files and other required documentation for review.
- Surveyor identifies indicators/probes met/not met/ not applicable and enters notes in CERT Survey Results template.
- Surveyor completes survey and holds closing meeting.

2 business days after date of closing meeting

- Surveyor completes the CERT Survey Results template.
 Surveyor E-Mail's the completed CERT Survey Results template and Census Request form to their Survey Coordinator for quality review.

5 business days

- Survey Coordinator reviews the findings, has dialogue with the Surveyor and approves the findings and final report.
- Survey Coordinator E-mail's the completed CERT Survey Results template and Census Request form to DMS.

2 business days - NO FINDINGS

- DMS saves the completed CERT Survey Results template and Census Request form; enters survey results and closes survey.
- DMS E-mails "2b CERT completed no CAP needed" to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.

2 business days - FINDINGS

- DMS saves the completed CERT Survey Results template and Census Request form; enters survey results.
- DMS E-mails "2a CERT completed CAP needed" and the completed CERT Survey Results template to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.

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IF THE SURVEY REQUIRES A CORRECTIVE ACTION PLAN

10 business days

The provider will use the CERT Survey Results template to enter the 1st CAP and submit by e-mail to BQIS at BQISSURVEY@fssa.in.gov.

1 business day (CAP 1 NOT RECEIVED)

- If CAP is not received within 10 business days DMS will send letter "6A - CERT - CAP(s) Not Received", the CERT Survey Results template notifying the provider that they have 3 business days to complete their CAP or their case will be referred to the BQIS Contract Liaison, to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison
- The provider will use the CERT Survey Results template to enter the CAP (CAP 1) and submit by e-mail to BQIS at BQISSURVEY@fssa.in.gov within 3 business days of receipt of the letter 6A.

3 business days PROVIDER REFERRED TO BQIS

- If the CAP is not received within 3 business days DMS will send letter "6B CERT CAP(s) Not Received Provider Referred to BQIS" to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator, BQIS Contract Liaison, Assistant Project Director and the Project Director.
- Upon approval from survey coordinator DMS will close the survey.
- Surveyor and Coordinator will refer to Provider Referral process.

2 business days

- DMS saves the CERT Survey Results template received from the provider with the CAP entered, updates the Transmission section, and forwards the CERT Survey Results template to the surveyor.
- DMS completes the necessary data entry tasks.

2 business days

- Surveyor will review the CAP against the specifications established to deem a CAP acceptable or not acceptable. If a CAP is not accepted surveyor will indicate the reason why.
- Once the Surveyor has completed their review they will forward the CERT Survey Results template to the Survey Coordinator for quality review.

5 business days

- Survey Coordinator reviews the CAP, has dialogue with the Surveyor and approves the CAP.
- Survey Coordinator e-mails the CERT Survey Results template to DMS for processing.

1 business day

- DMS processes survey and e-mail letter "4A-CERT CAP Accepted Follow-up Verification" or "3-CERT CAP Denied Resubmit" and the CERT Survey Results template
 indicating the results of the CAP review to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- If the CAP 1 is accepted then surveyor will proceed to the Follow-up Verification process which will occur in approximately 20 business days from the date in which the provider was notified that the CAP was accepted.

IF THE CAP 1 IS DENIED

5 business days

The provider will use the CERT Survey Results template to enter their 2nd CAP and submit by e-mail to BQIS at BQISSURVEY@fssa.in.gov.

1 business day

- If 2nd CAP is not received within 5 business days DMS will send letter
 "6C CERT 2nd CAP(s) Not Received" and the CERT Survey
 Results template notifying the provider that they have 3 business
 days to complete their 2nd CAP or their case will be referred to the
 BQIS Contract Liaison, to: provider contact person (CEO and
 designee), and cc's: Surveyor, Survey Coordinator and
 BOIS Contract Liaison.
- The provider will use the CERT Survey Results template to enter the CAP (CAP 1) and submit by e-mail to BQIS at BQISSURVEY@fssa.in.gov_within 3 business days of receipt of the letter 6C.

3 business day PROVIDER REFERRED TO BQIS

- If the CAP is not received within 3 business days DMS will send letter "6D CERT 2nd CAP(s) Not Received Provider Referred to BQIS" to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator, BQIS Contract Liaison, Assistant Project Director and the Project Director.
- Upon approval from survey coordinator DMS will close the survey.
- Surveyor and Coordinator will refer to Provider Referral process.

2 business days

- DMS saves the CERT Survey Results template received from the provider with the 2nd CAP entered, updates the Transmission section, and forwards the CERT Survey Results template to the surveyor.
- DMS completes the necessary data entry tasks

2 business days

- Surveyor will review the 2nd CAP against the specifications established to deem a CAP acceptable or not acceptable. If a CAP is not accepted surveyor will indicate the reason why.
- Once the Surveyor has completed their review they will forward the CERT Survey Results template to the Survey Coordinator for quality review.

5 business days

- Survey Coordinator reviews the 2nd CAP, has dialogue with the Surveyor and approves the CAP.
- Survey Coordinator e-mails the CERT Survey Results template to DMS for processing.

1 business day

- DMS processes survey and e-mail letter "4B-CERT 2nd CAP Accepted Follow-up Verification" or "5-CERT 2nd CAP Denied Provider Referred to BQIS" (PROVIDER REFERRED TO BQIS) and the CERT Survey Results template indicating the results of the CAP review to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- If the 2nd CAP is accepted then surveyor will proceed to the Follow-up Verification process which will occur within approximately 20 business days from the date of the acceptance letter.
- If the 2nd CAP in its' entirety is denied, upon approval from the survey coordinator DMS will close the survey and the Surveyor and Coordinator will refer to the Provider Referral process.

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Follow-up Verification of CAP Implementation

20 business days (approximately) following the date of CAP acceptance

- Surveyor conducts Follow-up Verification. This may be on-site and/or a desk review of documentation submitted by the provider.
- If there were personnel record findings discovered during the survey, additional personnel records will be evaluated to determine if the providers corrective actions were pervasive.

2 business days

 Surveyor completes the follow-up verification sections of the CERT Survey Results template and forwards to the Survey Coordinator for quality review.

5 business days

- Survey Coordinator reviews the results of the follow-up verification, has dialogue with the Surveyor and approves the report.
- Survey Coordinator e-mails the CERT Survey Results template to DMS for processing.

1 business day

- DMS processes survey and e-mail letter "8A-CERT Verification Corrective Action Plan Implemented" or "8B-CERT CAP not Implemented referred to BQIS" (PROVIDER REFERRED TO BQIS) and the CERT Survey Results template indicating the results of the CAP Implementation review to: provider contact person (CEO and designee), and cc's: Surveyor, Survey Coordinator and BQIS Contract Liaison.
- If the follow-up proved the CAP to not be implemented, upon approval from the survey coordinator DMS will close the survey and the Surveyor and Coordinator will refer to the Provider Referral process.

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